

07-10-01  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2766  
2131

In re Patent Application of:

NEWMAN et al.

Serial No.: 09/603,389

Filed: 6/23/00

For: COMPOUND ORDER HANDLING IN AN ANONYMOUS TRADING SYSTEM

Our Ref.: P/3879-14

Date: July 9, 2001

Group Art Unit: 2766

Examiner: --

Assistant Commissioner of Patents  
Washington, D.C. 20231

**SUBMISSION**

Sir:

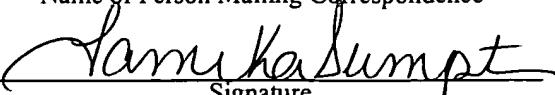
<input checked="" type="checkbox"/>	Submitted herewith is a copy of art together with an art listing form listing the same for the convenience of the Examiner.
<input checked="" type="checkbox"/>	The document(s) listed on the attached art listing form was/were cited in a Search Report issued MAY 14, 2001 by a foreign patent office in a related application. A copy of the Search Report (in the English language) is attached hereto for the Examiner's reference.
<input type="checkbox"/>	The Japanese Publication(s) listed on the attached art listing form was/were cited in a Japanese Office Action issued in a related application. A copy of the Japanese Office Action and an English-language translation of the relevant portions are also attached.
<input type="checkbox"/>	This submission is being made after the issuance of a first Office Action and three months after the application filing date. Thus a Certification Under 37 C.F.R. §1.97(e) is set forth below.
<input checked="" type="checkbox"/>	I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Submission (37 C.F.R. §1.97(e)).
<input type="checkbox"/>	I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than thirty (30) days prior to the filing of this Submission (37 C.F.R. §1.97(e)).
<input type="checkbox"/>	This submission is being made after the issuance of the first Office Action and without a certification. The fee of \$180.00 under 37 C.F.R. §1.17(p) is attached.
<input type="checkbox"/>	This submission is being made after the issuance of a final rejection or a Notice of Allowance but prior to the payment of the issue fee. Applicant(s) hereby attach the fee of \$180.00 under 37 C.F.R. §1.17(l). A certification under 37 C.F.R. §1.97(e) is set forth above.

EXPRESS MAIL CERTIFICATE

Respectfully submitted,

  
Steven I. Weisburd  
Registration No.: 27,409  
OSTROLENK, FABER, GERB & SOFFEN, LLP  
1180 Avenue of the Americas  
New York, New York 10036-8403  
Telephone: (212) 382-0700

Name of Person Mailing Correspondence

  
Signature

July 9, 2001

Date of Signature

SIW:sk

00518608.1